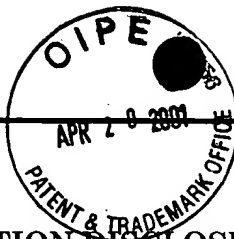


FORM PTO-1449

## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

(use as many sheets as necessary)



Attorney Docket Number	40627/RRT/S850
Application Number	09/785,643
Filing Date	February 16, 2001
Applicant(s)	Jonathan David Goodwin
Group Art Unit	To Be Assigned
Examiner Name	To Be Assigned

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>WDB</i>	4,725,718	02/1988	Sansone et al.	235	495	
	4,743,747	05/1988	Fougere et al.	235	494	
	4,757,537	07/1988	Edelmann et al.	380	51	
	4,775,246	10/1988	Edelmann et al.	380	23	
	4,812,994	03/1989	Taylor et al.	364	464.02	
	4,853,865	08/1989	Sansone et al.	364	464.02	
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	5,142,577	08/1992	Pastor	380	21	
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	5,448,641	09/1995	Pintsov et al.	380	51	
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	5,598,477	01/1997	Berson	380	51	
	5,666,421	09/1997	Pastor et al.	380	51	
	5,781,438	07/1998	Lee et al.	364	464.14	
	5,801,944	09/1998	Kara	364	464.2	
	5,825,893	10/1998	Kara	380	51	
	5,987,441	11/1999	Lee et al.	705	401	
	5,988,897	11/1999	Pierce et al.	400	61	
	6,005,945	12/1999	Whitehouse	380	51	
<i>WDB</i>	6,026,385	02/2000	Harvey et al.	705	408	
	6,064,993	05/2000	Ryan, Jr.	705	403	

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Attorney Docket Number	40627/RRT/S850
Application Number	09/785,643
Filing Date	February 16, 2001
Applicant(s)	Jonathan David Goodwin
Group Art Unit	2163
Examiner Name	Not yet assigned

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - kind code <sup>2</sup> . (If known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		US 4,831,555 B1	05-16-1989	Sansone et al.
		US 4,900,903 B1	02-13-1990	Wright et al.
		US 4,900,904 B1	02-13-1990	Wright et al.
		US 4,908,770 B1	03-13-1990	Breault et al.
		US 5,048,085 B1	09-10-1991	Abraham et al.
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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)

**OTHER DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

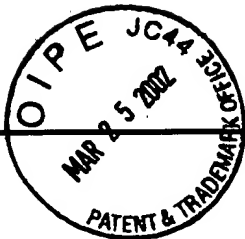
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Substitute for PTO-1449A/B



**INFORMATION DISCLOSURE**

**STATEMENT BY APPLICANT**

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**Attorney Docket Number**

**40627/RRT/S850**

**Application Number**

**09/785,643**

**Filing Date**

**February 16, 2001**

**Applicant(s)**

**Jonathan David Goodwin**

**Group Art Unit**

**2163**

**Examiner Name**

**Not yet assigned**

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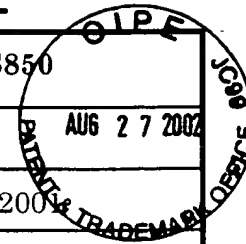
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Substitute for PTO-1449A/B

## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

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Attorney Docket Number	40627/RRT/S850
Application Number	09/785,643
Filing Date	February 16, 2001
Applicant(s)	Jonathan David Goodwin
Group Art Unit	2163
Examiner Name	Not yet assigned



## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - kind code <sup>2</sup> . (If known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
<i>[Signature]</i>		5,668,897	09-16-1997	Stolfo
<i>[Signature]</i>		5,768,132	06-16-1998	Cordery, et al.

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EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)

## OTHER DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

EXAMINER SIGNATURE	<i>[Signature]</i>	DATE CONSIDERED	12/11/03
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<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE</b>  <b>STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Attorney Docket Number</b>	<b>40627/RRT/S850</b>
	<b>Application Number</b>	<b>09/785,643</b>
	<b>Filing Date</b>	<b>February 16, 2001</b>
	<b>Applicant(s)</b>	<b>Jonathan David Goodwin</b>
	<b>Group Art Unit</b>	<b>2163</b>
	<b>Examiner Name</b>	<b>To Be Determined</b>

U.S. PATENT DOCUMENTS						
EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>DB</i>	5,781,634	07/1998	Cordery, et al.	380	25	

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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
<i>DB</i>	EP 0 647 925	12/1995	European Patent Office				

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OTHER DOCUMENTS	
EXAMINER INITIALS	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
<i>DB</i>	UNITED STATES POSTAL SERVICE, ENGINEERING CENTER, Information Based Indication Program (IBIP) Indiciation Specification, June 13, 1996

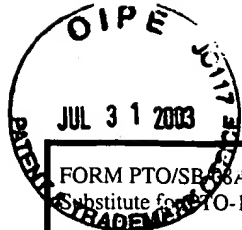
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<b>FORM PTO/SB-08A/B (10-01)</b> Substitute for PTO-1449A/B  <b>INFORMATION DISCLOSURE</b>  <b>STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Attorney Docket Number</b>	<b>40627/RRT/S850</b>
	<b>Application Number</b>	<b>09/785,643</b>
	<b>Filing Date</b>	<b>February 16, 2001</b>
	<b>Applicant(s)</b>	<b>Jonathan David Goodwin</b>
	<b>Group Art Unit</b>	<b>2163</b>
	<b>Examiner Name</b>	<b>To Be Assigned</b>

U.S. PATENT DOCUMENTS				
EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
<i>[Signature]</i>		4,933,849	06-12-1990	GANNELL, et al.
		6,233,565 B1	05-15-2001	LEWIS, et al.
		6,424,954 B1	07-23-2002	LEON
		US 2002/0023057 A1	02-21-2002	GOODWIN, et al.

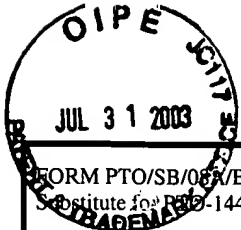
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FOREIGN PATENT DOCUMENTS					
EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)

OTHER DOCUMENTS		
EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
<i>[Signature]</i>		The United States Postal Service (USPS) Engineering Center; INFORMATION BASED INDICIA PROGRAM (IBIP) INDICIUM SPECIFICATION; June 13, 1996; 22pp.
		The United States Postal Service (USPS); INFORMATION-BASED INDICIA PROGRAM (IBIP): PERFORMANCE CRITERIA FOR INFORMATION-BASED INDICIA AND SECURITY ARCHITECTURE FOR CLOSED IBI POSTAGE METERING SYSTEMS (PCIBI-C); January 12, 1999; 49pp.
		INFORMATION-BASED INDICIA PROGRAM (IBIP); PERFORMANCE CRITERIA FOR INFORMATION-BASED INDICIA AND SECURITY ARCHITECTURE FOR OPEN IBI POSTAGE EVIDENCING SYSTEMS (PCIBI-O); June 25, 1999; 76pp.
		U.S. Patent Serial No. 09/585,025 filed June 1, 2000, "Online Value Bearing Item Printing", 125pp.
		U.S. Patent Serial No. 09/688,451 filed October 16, 2000, "Auditing Method and System for an On-Line Value-Bearing Item Printing System, 105pp.
<i>[Signature]</i>		U.S. Patent Serial No. 09/688,452 filed October 16, 2000, "Role Assignments in a Cryptographic Module for Secure Processing of Value-Bearing Items", 105pp.

<b>EXAMINER SIGNATURE</b>	<i>[Signature]</i>	<b>DATE CONSIDERED</b>	<i>12/22/03</i>
<small>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.</small>			

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Substitute for PTO-1449A/B

**INFORMATION DISCLOSURE**

**STATEMENT BY APPLICANT**

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**Attorney Docket Number**

**40627/RRT/S850**

**Application Number**

**09/785,643**

**Filing Date**

**February 16, 2001**

**Applicant(s)**

**Jonathan David Goodwin**

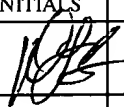
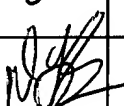
**Group Art Unit**

**2163**

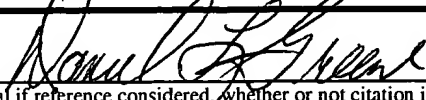
**Examiner Name**

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**OTHER DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		U.S. Patent Serial No. 09/688,456 filed October 16, 2000, "Cryptographic Module for Secure Processing of Value-Bearing Items", 109pp.
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		U.S. Patent Serial No. 09/690,243 filed October 17, 2000, "Method and Apparatus for On-Line Value-Bearing Item System", 66pp.
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		U.S. Patent Serial No. 09/788,069 filed February 16, 2001, "On-Line Value-Bearing Indiciu Printing Using DSA", 43pp.
		U.S. Patent Serial No. 10/083,236 filed February 26, 2002, "Secured Centralized Public Key Infrastructure", 101pp.

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